

CONTRACT REQUEST FORM (CRF)

CEC-94 (Revised 5/11)

CALIFORNIA ENERGY COMMISSION



☐ New Contract - - ☐ Amendment to Existing Contract: 200-98-012 Amendment Number: 6

Division	Contract Manager:	MS-	Phone	CM Training Date
200 Financial Services	Mary Lam	19	916-657-3843	7/27/10

Contractor's Legal Name	Federal ID Number
State Controller's Office, Division of Audits	-

Title of Project
PIER Program Audit Services Contract

Term	Start Date	End Date	Amount
New/Original Contract	09 / 23 / 98	10 / 01 / 13	\$ 1,500,000

Line up the Amendment information as best as possible in the following boxes

Amendment #	End Date (mm/dd/yy)	Amount
6	10/01/13	\$0.00

Business Meeting Information			
Proposed Business Meeting Date	11/16/11	<input checked="" type="checkbox"/> Consent	<input type="checkbox"/> Discussion
Business Meeting Presenter	Mary Lam/Kyle Emigh	Time Needed:	5 minutes

Agenda Item Subject and Description

Possible approval of an amendment to have the State Controller's Office, Division of Audits to perform PIER Royalty Payment Verification Engagements. On an as needed basis, the State Controller's Office, Division of Audits will review PIER royalty payments received by the Energy Commission. There will be no additional funding or time extension with this amendment.

Business Meeting approval is not required for the following types of contracts: *Executive Director's signature is required in all cases.*

- ☐ Contracts less than \$10k (*Policy Committee's signature is also required*)
- ☐ Amendment for a no-cost time extension. Must be first extension, less than one year and original contract less than \$100k.
- ☐ Contracts less than \$25k for Expert Witness in Energy Facility licensing cases and amendments.

Purpose of Contract or Purpose of Amendment, if applicable

Possible approval of an amendment to have the State Controller's Office, Division of Audits to perform PIER Royalty Payment Verification Engagements.

California Environmental Quality Act (CEQA) Compliance

- Is Contract considered a "Project" under CEQA?

☐ Yes: skip to question 2 ☒ No: complete the following (PRC 21065 and 14 CCR 15378):

Explain why contract is not considered a "Project":

Contract will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because _____.
- If contract is considered a "Project" under CEQA:

☐ a) Contract **IS** exempt. (Draft NOE required)

☐ Statutory Exemption. List PRC and/or CCR section number: _____

☐ Categorical Exemption. List CCR section number: _____

☐ Common Sense Exemption. 14 CCR 15061 (b) (3)

Explain reason why contract is exempt under the above section: _____

☐ b) Contract **IS NOT** exempt. The Contract Manager needs to consult with the Energy Commission attorney assigned to their division and the Siting Office regarding a possible Initial Study.

CONTRACT REQUEST FORM (CRF)

CEC-94 (Revised 5/11)

CALIFORNIA ENERGY COMMISSION



Budgets Information							
Contract Amount Funded		Breakdown by FY			Funding Sources		
Funding Source	Amount	FY	Amount	Approved ?	Funding Source	FY	Budget List No.
ARFVTF	\$		\$	No	Funding Source		
ECAA	\$		\$	No	Funding Source		
State- ERPA	\$		\$	No	Funding Source		
Federal	\$		\$	No	Funding Source		
PIER - E	\$		\$	No	Funding Source		
PIER - NG	\$		\$	No	Funding Source		
Reimbursement	\$		\$	No	Funding Source		
RRTF	\$		\$	No	Funding Source		
Other:	\$		\$	No	Other:		
TOTAL: \$ 0		TOTAL: \$ 0			TOTAL: \$ 0		
Reimbursement					Federal Agreement #:		

Contractor's Administrator/ Officer		Contractor's Project Manager	
Name:	Andrew Finlayson	Name:	Mary Lam
Address:	Division of Audits, 3301 C Street	Address:	1516 9 th Street, MS 19
City, State, Zip:	Sacramento, CA 95816	City, State, Zip:	Sacramento, CA 95814
Phone/ Fax:	916-324-6310	Phone/ Fax:	(916) 657-3843
E-Mail:	afinlayson@sco.ca.gov	E-Mail:	MLam@energy.state.ca.us

Contractor Is
<input type="checkbox"/> Private Company (including non-profits)
<input checked="" type="checkbox"/> CA State Agency (including UC and CSU)
<input type="checkbox"/> Government Entity (i.e. city, county, federal government, air/water/school district, joint power authorities, university from another state)

Selection Process Used
<input type="checkbox"/> Solicitation Select Type Solicitation #: _____ # of Bids: _____ Low Bid? <input type="checkbox"/> No <input type="checkbox"/> Yes
<input type="checkbox"/> Non Competitive Bid (Attach CEC 96)
<input checked="" type="checkbox"/> Exempt Select Exemption (see instructions)

Civil Service Considerations
<input checked="" type="checkbox"/> Not Applicable (Contract is with a CA State Entity or a membership/co-sponsorship)
<input type="checkbox"/> Public Resources Code 25620, et seq., authorizes the Commission to contract for the subject work. (PIER)
<input type="checkbox"/> The Services Contracted:
<input type="checkbox"/> are not available within civil service
<input type="checkbox"/> cannot be performed satisfactorily by civil service employees
<input type="checkbox"/> are of such a highly specialized or technical nature that the expert knowledge, expertise, and ability are not available through the civil service system.
<input type="checkbox"/> The Services are of such an:
<input type="checkbox"/> urgent
<input type="checkbox"/> temporary, or
<input type="checkbox"/> occasional nature
that the delay to implement under civil service would frustrate their very purpose.
Justification:

Payment Method
<input checked="" type="checkbox"/> A. Reimbursement in arrears based on:
<input checked="" type="checkbox"/> Itemized Monthly <input type="checkbox"/> Itemized Quarterly <input type="checkbox"/> Flat Rate <input type="checkbox"/> One-time
<input type="checkbox"/> B. Advanced Payment
<input type="checkbox"/> C. Other, explain:

CONTRACT REQUEST FORM (CRF)

CEC-94 (Revised 5/11)

CALIFORNIA ENERGY COMMISSION

**Retention**

1. Is contract subject to retention? ☒ No ☐ Yes
 If Yes, Do you plan to release retention prior to contract termination? ☐ No ☐ Yes

Justification of Rates**Disabled Veteran Business Enterprise Program (DVBE)**

1. ☒ Not Applicable
 2. ☐ Meets DVBE Requirements DVBE Amount:\$ _____ DVBE %: _____
 ☐ Contractor is Certified DVBE
 ☐ Contractor is Subcontracting with a DVBE: _____
 3. ☐ Contractor selected through CMAS or MSA with no DVBE participation.
 4. ☐ Requesting DVBE Exemption (attach CEC 95)

Is Contractor a certified Small Business (SB), Micro Business (MB) or DVBE?

- ☒ No ☐ Yes
 If yes, check appropriate box: ☐ SB ☐ MB ☐ DVBE

Is Contractor subcontracting any services?

- ☐ No ☐ Yes
 If yes, give company name and identify if they are a Small Business (SB), Micro Business (MB) and/or DVBE:

- | | | | | |
|--|-----------------------------|-----------------------------|-----------------------------|-------------------------------|
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |
| | <input type="checkbox"/> No | <input type="checkbox"/> SB | <input type="checkbox"/> MB | <input type="checkbox"/> DVBE |

Miscellaneous Contract Information

1. Will there be Work Authorizations? ☒ No ☐ Yes
 2. Is the Contractor providing confidential information? ☒ No ☐ Yes
 3. Is the contractor going to purchase equipment? ☒ No ☐ Yes
 4. Check frequency of progress reports
 ☐ Monthly ☐ Quarterly ☐ Other... _____
 5. Will a final report be required? ☐ No ☒ Yes
 6. Is the contract, with amendments, longer than a year? If yes, why? ☐ No ☒ Yes

The following items should be attached to this CRF

- | | | |
|---|------------------------------|--|
| 1. Scope of Work, Attach as Exhibit A. | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 2. Budget Detail, Attach as Exhibit B. | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 3. CEC 96, NCB Request | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 4. CEC 30, Survey of Prior Work | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 5. CEC 95, DVBE Exemption Request | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 6. Draft CEQA Notice of Exemption (NOE) | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 7. Resumes | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 8. CEC 105, Questionnaire for Identifying Conflicts | | <input type="checkbox"/> Attached |
| 9. CEC 106, IT Component Reporting Form | | <input type="checkbox"/> Attached |

Contract Manager

Date

Office Manager

Date

Deputy Director

Date

The following signatures are only required when contract approval is delegated to the Executive Office and not approved at a Business Meeting.
 See Business Meeting Information Section.

Presiding Policy Committee

Date

Associate Policy Committee

Date

Executive Director

Date